

**Substitute for form 1449B/PTO**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

*(Use as many sheets as necessary)*

Shee

of

Application Number 10/608,404

**Filing Date** JUNE 26, 2003

First Named Inventor LIU, ET

Group Art Unit 1765-1743

Examiner Name ~~UNKNOWN~~ Alexander

Attorney Docket Number AMAT/5699 P3/CMP/CMP/BKK

Sheet 1 of 1 Submission Date 10/11, 2004

## NON PATENT LITERATURE DOCUMENTS

1000

Date Considered June 17, 2005

**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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PTO/SB/08a (08-03)

Approved for use through 07/31/2006, OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<p>01 P-5C37 JAN 18 2005 PATENT &amp; TRADEMARK OFFICE</p> <p>Substitute for form 1449A/PTO <b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)</p>		Application Number	10/608,404
		Filing Date	JUNE 26, 2003
		First Named Inventor	LIU, ET AL.
		Group Art Unit	1765 1742
		Examiner Name	UNKNOWN Alexander
		Attorney Docket Number	AMAT/5699.P3/CMP/CMP/RKK
Sheet 1	of 2	Submission Date	JANUARY 14, 2005

### U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
MM	A1	US-6,541,384 B1	04/01/2003	LIZHONG, ET AL.	
	A2	US-2003/073311 A1	04/17/2003	JOSEPH, ET AL.	
	A3	US-2002/182982 A1	12/05/2002	JUI-LUNG, ET AL.	
↓	A4	US-2002/104764 A1	08/08/2002	GAUTAM, ET AL.	
	A5				
	A6				
	A7				
	A8				
	A9				
	A10				
	A11				
	A12				
	A13				
	A14				
	A15				
	A16				
	A17				
	A18				

### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>3</sup>
		Country Code <sup>2</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
MM	B1	WO 03/72672	09/04/2003	LIU, ET AL.		
	B2					
	B3					
	B4					
	B5					

Examiner

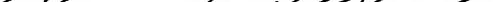
Date Considered

June 17, 2005

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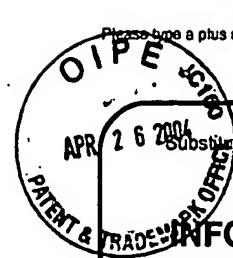
This collection of information is required by 37 CFR 1.97 and 1.88. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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Substitute for form 1449B/PTO  <b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>		<b>Application Number</b>	<b>10/608,404</b>		
		<b>Filing Date</b>	<b>JUNE 26, 2003</b>		
		<b>First Named Inventor</b>	<b>LIU, ET AL.</b>		
		<b>Group Art Unit</b>	<b>1765 1742</b>		
		<b>Examiner Name</b>	<b>UNKNOWN Alexander</b>		
		<b>Attorney Docket Number</b>	<b>AMAT/5699.P3/CMP/CMP/RKK</b>		
<b>Sheet</b>	<b>2</b>	<b>of</b>	<b>2</b>	<b>Submission Date</b>	<b>JANUARY 14, 2005</b>

Examiner  Date Considered June 17, 2005

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PTO/SB/08b (08-03)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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APR 26 2004 Substitute for form 1449B/PTO

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet	1	of	1	Submission Date	April 22, 2004
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
	A1	WO 99/46081 A1	09/16/1999	STRASBAUGH		

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
<i>mp</i>	B1	PCT Written Opinion for PCT/US02/04806, dated March 9, 2004 (AMAT/5699.PC)	

Examiner	<i>MATL-A-001</i>	Date Considered	June 17, 2005
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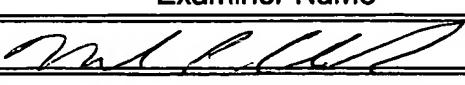
## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18  
Stylesheet Version v18.0

Title of Invention	METHOD AND COMPOSITION FOR POLISHING A SUBSTRATE						
Application Number:	10/608404 						
Confirmation Number:	7966						
First Named Applicant:	FENG LIU						
Attorney Docket Number:	AMAT5699P3						
Art Unit:	1765						
Search string:	( 6693036 or 6679929 or 6679928 or 6676484 or 6620215 or 6616976 or 6605537 or 6602112 or 6596638 or 6593239 or 6565619 or 6562719 or 6551935 or 6508952 or 6455479 or 6454819 or 6447371 or 6440186 or 6429133 or 6428721 or 6419554 or 6375693 or 6315883 or 6315803 or 6310019 or 6303551 or 6303049 or 6273786 or 6258721 or 6258711 or 6248222 or 6238592 or 6206756 or 6176992 or 6171352 or 6117783 or 6103096 or 6099604 or 6083840 or 6063306 or 6066030 ).pn.						
<b>US Patent Documents</b>							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
1	1	6693036	2004-02-17	Nogami, et al.			
	2	6679929	2004-01-20	Asano, et al.			
	3	6679928	2004-01-20	Costas, et al.			
	4	6676484	2004-01-13	Chopra			
	5	6620215	2003-09-16	Li, et al.			
	6	6616976	2003-09-09	Montano, et al.			
	7	6605537	2003-08-12	Bian, et al.			
	8	6602112	2003-08-05	Tran, et al.			
	9	6596638	2003-07-22	Kondo, et al.			
	10	6593239	2003-07-15	Kaufman, et al.			
	11	6565619	2003-05-20	Asano, et al.			

MP4	12	6562719	2003-05-13	Kondo, et al.
	13	6551935	2003-04-22	Sinha, et al.
	14	6508952	2003-01-21	Lee, et al.
	15	6455479	2002-09-24	Sahbari
	16	6454819	2002-09-24	Yano, et al.
	17	6447371	2002-09-10	Brusic Kaufman, et al.
	18	6440186	2002-08-27	Sakai, et al.
	19	6429133	2002-08-06	Chopra
	20	6428721	2002-08-06	Ina, et al.
	21	6419554	2002-07-16	Chopra, et al.
	22	6375693	2002-04-23	Cote, et al.
	23	6315883	2001-11-13	Mayer, et al.
	24	6315803	2001-11-13	Ina, et al.
	25	6310019	2001-10-30	Kakizawa, et al.
	26	6303551	2001-10-16	Li, et al.
	27	6303049	2001-10-16	Lee, et al.
	28	6273786	2001-08-14	Chopra, et al.
	29	6258721	2001-07-10	Li, et al.
	30	6258711	2001-07-10	Laursen, et al.
	31	6248222	2001-06-19	Wang
	32	6238592	2001-05-29	Hardy, et al.
	33	6206756	2001-03-27	Chopra, et al.
	34	6176992	2001-01-23	Talieh
	35	6171352	2001-01-09	Lee, et al.
	36	6117783	2000-09-12	Small, et al.
	37	6103096	2000-08-15	Datta
	38	6099604	2000-08-08	Sandhu, et al.
	39	6083840	2000-07-04	Mravic, et al.
	40	6063306	2000-05-16	Kaufman, et al.
▼	41	6066030	1999-08-15	Datta

Signature

Examiner Name	Date
	June 17, 2005



## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18  
Stylesheet Version v18.0

Title of Invention	METHOD AND COMPOSITION FOR POLISHING A SUBSTRATE						
Application Number:	10/608404 						
Confirmation Number:	7966						
First Named Applicant:	FENG LIU						
Attorney Docket Number:	AMAT5699P3						
Art Unit:	1765						
Search string:	( 6001730 or 5897375 or 5880003 or 5846882 or 5783489 or 5770095 or 5407526 or 5391258 or 5340370 or 5209816 or 5114548 or 4992135 or 4934102 or 4793895 or 5543032 or 20030170091 or 20030153184 or 20030136055 or 20030083214 or 20030079416 or 20030073386 or 20020139055 or 20020096659 or 20020088709 or 20020070126 or 20020016272 or 20010024878 or 20010042690 ).pn. )						
US Patent Documents							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
1	1	6001730	1999-12-14	Farkas, et al.			
	2	5897375	1999-04-27	Watts, et al.			
	3	5880003	1999-03-09	Hayashi			
	4	5846882	1998-12-08	Birang			
	5	5783489	1998-07-21	Kaufman, et al.			
	6	5770095	1998-06-23	Sasaki, et al.			
	7	5407526	1995-04-18	Danielson, et al.			
	8	5391258	1995-02-21	Branacaleoni, et al.			
	9	5340370	1994-08-23	Cadien, et al.			
	10	5209816	1993-05-11	Yu, et al.			
	11	5114548	1992-05-19	Rhoades			
✓	12	4992135	1991-02-12	Doan			

13	4934102	1990-06-19	Edson
14	4793895	1988-12-27	Kaanta, et al.
15	5543032	1996-08-06	Datta, et al.

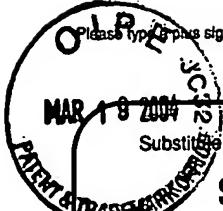
## US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
1	20030170091	2003-09-11	Shomler, et al.				
2	20030153184	2003-08-14	Wang, et al.				
3	20030136055	2003-07-24	Li et al.				
4	20030083214	2003-05-01	Kakizawa, et al.				
5	20030079416	2003-05-01	Ma, et al.				
6	20030073386	2003-04-17	Ma, et al.				
7	20020139055	2002-10-03	Asano, et al.				
8	20020096659	2002-07-25	Sakai, et al.				
9	20020088709	2002-07-11	Hongo, et al.				
10	20020070126	2002-06-13	Sato, et al.				
11	20020016272	2002-02-07	Kakizawa, et al.				
12	20010024878	2001-09-27	Nakamura				
13	20010042690	2001-11-22	Talieh				

Signature

Examiner Name	Date
	June 17, 2005



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MAR 18 2004

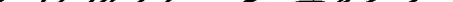
Substitute for form 1449B/PTO

**SUPPLEMENTAL  
INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

*(Use as many sheets as necessary)*

Substitute for form 1449B/PTO		Application Number	10/608,404
<b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Filing Date	JUNE 26, 2003
(Use as many sheets as necessary)		First Named Inventor	FENG Q. LIU, ET AL.
		Group Art Unit	7966-1742
		Examiner Name	UNKNOWN Alexander
		Attorney Docket Number	AMAT/5699.P3/CMP/CMP/RKK
Sheet	1	of	1
		Submission Date	March 17, 2004

## NON-PATENT LITERATURE DOCUMENTS

Examiner  Date Considered July 17 2005

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Application Number	10/608,404
Filing Date	June 26, 2003
First Named Inventor	Liu, et al.
Group Art Unit	Unknown 1742
Examiner Name	Unknown Alexander
Attorney Docket Number	AMAT/5699.P3/CMP/CMP/RKK

Sheet 1 of 1 Submission Date February 2004

### U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
MPY	A1	US-6,579,153	06/17/2003	Uchikura, et al.	
	A2	US-6,555,158	04/29/2003	Yoshio, et al.	
	A3	US-6,416,685	07/09/2002	Zhang, et al.	
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	A5	US-6,355,075	03/12/2002	Ina, et al.	
	A6	US-6,354,916	03/12/2002	Uzoh, et al.	
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	A9	US-4,666,683	05/19/1987	Brown, et al.	
	A10	US-3,239,441	03/08/1966	Marosi, S.L.	
	A11	US-2003/0114004	06/19/2003	Sato, et al.	
	A12	US-2003/0113996	06/19/2003	Nogami, et al.	
	A13	US-2003/0104762	06/05/2003	Sato, et al.	
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	A15	US-2002/0074230	06/20/2002	Basol	
Y	A16	US-2002/0072309	06/13/2002	Sato, et al.	
V	A17				
	A18				

### FOREIGN PATENT DOCUMENTS

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		Number-Kind Code <sup>2</sup> (if known)				
MLA	B1	EP-0 527 537	02/17/1993	Europe		
MLA	B2	WO 03/060962 A2	07/24/2003	WIPO		
	B3					
	B4					
	B5					

Examiner



Date Considered

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U.S. Department of Commerce, Patent and Trademark Office (PTO Form 1449 modified)		Docket No. AMAT/5699.P3/CMP/ CMP/RKK	Serial No. 10/608,404
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>AUG 22 2003</i> <i>USPTO</i>		Applicant Liu, et al.	Confirmation No.: Unknown
(Use several sheets if necessary)		Filing Date June 26, 2003	Group 1742 Unknown
Examiner <i>Unknown</i>			

## U.S. Patent Documents

*Examiner Initial		Document Number	Issue Date	Applicant(s) Name	Class	Subclass	Filing Date If Appropriate
<i>MPA</i>	A1	6,440,295	08/27/2002	Wang	205	640	02/04/2000
	A2	6,395,152	05/28/2002	Wang	204	224M	07/02/1999
	A3	6,391,166	05/21/2002	Wang	204	224R	01/15/1999
	A4	6,348,076	02/19/2002	Canaperi, et al.	51	309	12/28/1999
	A5	6,276,996	08/21/2001	Chopra	451	41	11/10/1998
	A6	6,258,721	07/10/2001	Li, et al.	438	693	12/27/1999
	A7	6,234,870	05/22/2001	Uzoh, et al	451	8	08/24/1999
	A8	6,218,305	04/17/2001	Hosali, et al.	438	691	05/25/2000
	A9	6,217,416	04/17/2001	Kaufman, et al.	451	41	06/26/1998
	A10	6,206,756	03/27/2001	Chopra, et al.	451	28	11/10/1998
	A11	6,194,317	02/27/2001	Kaisaki, et al.	438	692	04/30/1998
	A12	6,190,237	02/20/2001	Huyng, et al.	451	41	11/06/1997
↓	A13	6,177,026	01/23/2001	Wang, et al.	252	79.1	05/26/1998

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*Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation	
							YES	NO
<i>MPA</i>	B1	1 170 761 A1	09/01/2002	EP	H01G	09/035	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>MPA</i>	B2	1 103 346 A2	05/30/2001	EP	B24B	37/04	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>MPA</i>	B3	0 846 742 A2	06/10/1998	EP	C09G	1/02	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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<i>MPA</i>	C1	Nogami, "An Innovation to Integrate Porous Low-K Materials and Copper", <u>InterConnect Japan 2001</u> ; Honeywell Seminar (December 6, 2001) PP. 1 – 12
<i>MPA</i>	C2	D. Landolt, "Fundamental Aspects of Electropolishing", 03/18/1996, pages: 1-11
Examiner	<i>MPA</i>	Date Considered <i>June 17, 2005</i>

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

U.S. Department of Commerce, Patent and Trademark Office (PTO Form 1449 modified)		Docket No. AMAT/5699.P3/CMP/ CMP/RKK	Serial No. 10/608,404
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>AUG 22 2003 U.S. PATENT AND TRADEMARK OFFICE</i>		Applicant Liu, et al.	Confirmation No.: Unknown
(Use several sheets if necessary)		Filing Date June 26, 2003	Group Unknown <i>1742</i>
Examiner Initial <i>MP9</i> Known			

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	A15	6,143,656	11/07/2000	Yang, et al.	438	687	10/22/1998
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	B5	P2001 77117A	09/23/2001	JP (English Abstract)	H01L	21/3205	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	B6	1 618 538 A1	01/07/1991	SU	B23	H5/6	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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Examiner *MP9* Date Considered *June 17, 2005*

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Applicant Liu, et al.	Confirmation No.: Unknown
(Use several sheets if necessary)		Filing Date June 26, 2003	Group 1742 Unknown
Examiner Unknown			

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mpq	B8	02/88229	11/07/2002	WO	C08J	5/00	<input checked="" type="checkbox"/>	<input type="checkbox"/>
mpq	B9	02/23616	03/21/2002	WO	H01L	21/44	<input checked="" type="checkbox"/>	<input type="checkbox"/>
mpq	B10	07/7241 A2	10/18/2001	WO	C09G	01/00	<input checked="" type="checkbox"/>	<input type="checkbox"/>
mpq	B11	00/26443	05/11/2000	WO	C25D	N/A	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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U.S. Department of Commerce, Patent and Trademark Office (PTO Form 1449 modified)		Docket No. AMAT/5699.P3/CMP/ CMP/RKK	Serial No. 10/608,404
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Applicant Liu, et al.	Confirmation No.: Unknown
(Use several sheets if necessary)		Filing Date June 26, 2003	Group 1742 Unknown
Examiner Unknown			

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mpq	B13	00/03426	01/20/2000	WO	H01L	21/321	<input checked="" type="checkbox"/>	<input type="checkbox"/>
mpq	B14	99/65072	12/16/1999	WO	H01L	21/321	<input checked="" type="checkbox"/>	<input type="checkbox"/>
mpq	B15	99/53532	10/21/1999	WO	H01L	21/00	<input checked="" type="checkbox"/>	<input type="checkbox"/>
mpq	B16	98/04646	02/05/1998	WO	H01L	21/00	<input checked="" type="checkbox"/>	<input type="checkbox"/>
mpq	B17	98/49723	11/05/1998	WO	H01L	21/321	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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mpq	C5	International Search Report for US 02/04806 dated April 1, 2003 (AMAT/5699.PC)
mpq	C6	PCT International Search Report for US 03/06058 dated June 25, 2003. (AMAT/5699.PC.02)

Examiner mpq Date Considered June 17, 2005

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